

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

6P 1635

Applicant(s): Eric T. Kool

Group Art Unit: 1635

Serial No.: 09/997,931

Examiner: S. McGarry

Filed: 11/30/01

Docket No.: 220.00010150

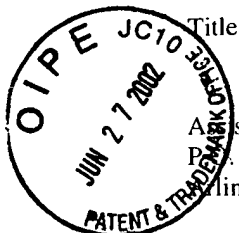
Conf. No.: 5355

Title: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

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JUL 01 2002

TECH CENTER 1600/2900



Assistant Commissioner for Patents
P.O. Box 2327
Arlington, VA 22202

We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

- ☒ **Small entity status is entitled to be asserted in the above-identified application.**
- ☐ An itemized return postcard.
- ☐ A Petition for Extension of Time for __ month(s) and a check in the amount of \$__ for the required fee.
- ☒ An Information Disclosure Statement (4 pgs); 1449 forms (10 pgs); and copies of 29 documents.
- ☐ A check in the amount of \$__, representing __.
- ☐ A certified copy of a __ application, Serial No. __, filed ____, the right of priority of which is claimed under 35 U.S.C. §119.
- ☐ Other: __.
- ☐ Amendment ☐ No Additional fee is required. ☐ The fee has been calculated as shown:

| Fee Calculation for Claims Pending After Amendment | | | | | |
|---|------------------------------------|-----------------------------|-----------------------------------|---------------------------|--------------------------|
| | Pending Claims after Amendment (1) | Claims Paid for Earlier (2) | Number of Additional Claims (1-2) | Cost per Additional Claim | Additional Fees Required |
| Total Claims | | | | x \$9 = | |
| Independent Claims | | | | x \$42 = | |
| One or More New Multiple Dependent Claims Presented? If Yes, Add \$140 Here → | | | | | |
| Total Additional Claim Fees Required | | | | | |

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

CERTIFICATE UNDER 37 C.F.R. §1.8: The undersigned hereby certifies that this Transmittal Letter and the paper(s), as described hereinabove, are being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202, on this 24th day of June, 2002.

MUETING, RAASCH & GEBHARDT, P.A.

Customer Number: 26813



26813

PATENT TRADEMARK OFFICE

By:
Name: Victoria A. Sandberg
Reg. No.: 41,287
Direct Dial: 612-305-1226
Facsimile: 612-305-1228



PATENT
Docket No. 220.0001 0150

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Eric T. Kool) Group Art Unit: 1635
Serial No.: 09/997,931) Examiner: S. McGarry
Filed: November 30, 2001)
For: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

#7/K.T.
7/2
I.D.S.

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
P.O. Box 2327
Arlington, VA 22202

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JUL 01 2002

Sir:

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In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with C.F.R. §§ 1.97 *et. seq.*, the materials enclosed herewith are brought to the attention of the Examiner as possibly being of interest in connection with the above-identified patent application. Consideration of each of the documents listed on the attached 1449 forms is respectfully requested. Pursuant to the provisions of M.P.E.P. §609, Applicant further requests that a copy of the 1449 forms, marked as being considered and initialed by the Examiner, be returned with the next Official Communication.

The present application is a continuation-in-part application of co-pending U.S. patent application Serial No. 09/569,344, filed May 11, 2000 (now issued as U.S. Patent No. 6,368,802 on April 9, 2002), which is a continuation application of U.S. patent application Serial No. 08/805,631, filed February 26, 1997 (now issued as U.S. Patent No. 6,096,880 on August 1, 2000), which is a continuation-in-part application of U.S. patent application Serial No. 08/393,439, filed February 23, 1995 (now issued as U.S. Patent No. 5,714,320 on February 3, 1998), which is a continuation-in-part application of U.S. patent application Serial No. 08/047,860, filed April 15, 1993 (now abandoned).

Information Disclosure Statement

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Applicant(s): Eric T. Kool

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For: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

Pursuant to the provisions of M.P.E.P. § 609 and in accordance with 37 C.F.R. § 1.98(d), Applicant has not included copies of the documents listed on the 1449 forms which were previously cited by or submitted to the Patent Office in the prior applications identified herein. A copy of the below listed documents are provided herewith as they were not of record in any of the prior applications.

List of Documents, Copies of Which are Listed on 1449 Forms and Provided Herewith

| Document | Date | Name/Country |
|---|----------|--------------|
| 6,077,668 | 06/20/00 | Kool |
| 6,096,880 | 08/01/00 | Kool |
| 6,368,802 | 04/09/02 | Kool |
| WO 96/00795 | 01/11/96 | PCT |
| WO 97/19193 | 05/29/97 | PCT |
| WO 97/20948 | 06/12/97 | PCT |
| WO 97/43298 | 11/20/97 | PCT |
| WO 98/04746 | 02/05/98 | PCT |
| WO 99/09216 | 02/25/99 | PCT |
| Ali et al., "Enzymatic synthesis of DNA probes complementary to a human variable number tandem repeat locus," 179(2):280-283 (June 1, 1989). | | |
| Beaucage et al., "The Functionalization of Oligonucleotides Via Phosphoramidite Derivatives," <i>Tetrahedron</i> , 49(10):1925-1963 (1993). | | |
| Bledsoe et al., "Molecular homology and DNA hybridization," <i>J. Mol. Evol.</i> , 30(5):425-433 (May 1990). | | |
| Egholm et al., "PNA hybridizes to complementary oligonucleotides obeying the Watson-Crick hydrogen-bonding rules," <i>Nature</i> , 365(6446):566-568 (Oct. 7, 1993). | | |
| Elroy-Stein et al., "Cytoplasmic expression system based on constitutive synthesis of bacteriophage T7 RNA polymerase in mammalian cells," <i>Proc. Natl. Acad. Sci. USA</i> , 87:6743-6747 (Sept. 1990). | | |
| Horn et al., "The Synthesis of Branched Oligonucleotides as Signal Amplification Multimers for Use in Nucleic Acid Assays," <i>Nucleosides & Nucleotides</i> , 8(5&6):875-877 (1989). | | |

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Kawai et al., "A simple method of detecting amplified DNA with immobilized probes on microtiter wells," *Anal. Biochem.*, 209(1):63-69 (Feb. 15, 1993).

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Information Disclosure Statement

Page 4 of 4

Applicant(s): Eric T. Kool

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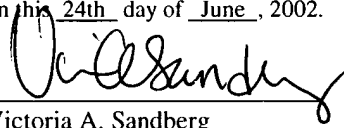
For: CIRCULAR DNA VECTORS FOR SYNTHESIS OF RNA AND DNA

It is believed that no fee is due, as this Information Disclosure Statement is filed prior to the receipt of any Action on the merits. However, in the event a fee is due, please charge any fee or credit any overpayment to Account No. 13-4895.

The Examiner is invited to contact Applicant's Representatives at the below-listed telephone number, if they can be of any assistance during prosecution of the present application.

CERTIFICATE UNDER 37 C.F.R. 1.8:

The undersigned hereby certifies that this paper is being deposited in the United States Postal Service, as first class mail, in an envelope addressed to: Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202, on this 24th day of June, 2002.


Victoria A. Sandberg

Respectfully submitted for

Eric T. Kool

By

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Customer Number 26813



26813

PATENT TRADEMARK OFFICE

June 24, 2002

Date

By: 

Victoria A. Sandberg

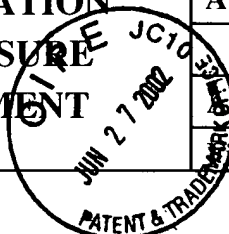
Reg. No. 41,287

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| INFORMATION DISCLOSURE STATEMENT | | Atty. Docket No.: 220.00010150 | | Serial No.: 09/997,931 | | | |
| | | | | Conf. No.: 5355 | | | |
| | | Applicant(s): Eric T. Kool | | | | | |
| | | Filing Date: 11/30/01 | | Group: 1635 | | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| Examiner Initial | | Document Number | Date | Name | Class SubClass | Filing Date If Appropriate | |
| | | 4,795,700 | 01/03/89 | Dervan et al. | | | |
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| | | 5,648,245 | 07/15/97 | Fire et al. | | | |
| | | 5,714,320 | 02/03/98 | Kool | | | |
| | | 6,077,668 | 06/20/00 | Kool | | | |
| | | 6,096,880 | 08/01/00 | Kool | | | |
| | | 6,368,802 | 04/09/02 | Kool | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | | |
| | | Document Number | Date | Country | Class SubClass | Translation | |
| | | | | | | Yes | No |
| | | JP 4-262799 | 09/18/92 | Japan (and English Abstract) | | | X |
| | | JP 4-304900 | 10/28/92 | Japan | | X | |
| | | JP 5-146299 | 06/15/93 | Japan | | X | |
| | | WO 92/01813 | 02/06/92 | PCT | | | |
| | | WO 92/17484 | 10/15/92 | PCT | | | |
| | | WO 94/03630 | 02/17/94 | PCT | | | |
| | | WO 96/00795 | 01/11/96 | PCT | | | |
| | | WO 96/33207 | 10/24/96 | PCT | | | |
| | | WO 97/19193 | 5/29/97 | PCT | | | |

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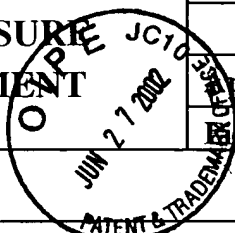
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| | | WO 97/20948 | 6/12/97 | PCT | | | | |
| | | WO 97/43298 | 11/20/97 | PCT | | | | |
| | | WO 98/04746 | 02/05/98 | PCT | | | | |
| | | WO 98/38300 | 09/03/98 | PCT | | | | |
| | | WO 99/09216 | 02/25/99 | PCT | | | | |

OTHER DOCUMENTS (Including Authors, Title, Date, Pertinent Papers, etc.)

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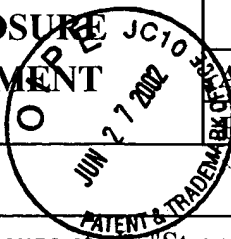
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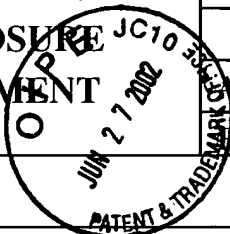
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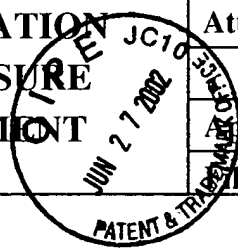
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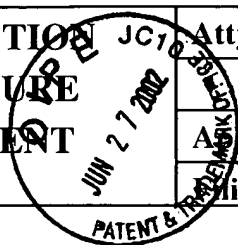
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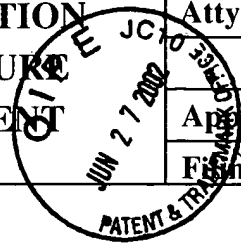
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